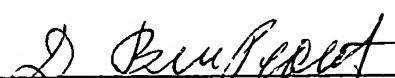


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|   |  |   |
|---|--|---|
| <b>TRANSMITTAL LETTER TO THE UNITED STATES<br/>DESIGNATED/ELECTED OFFICE (DO/EO/US)<br/>CONCERNING A SUBMISSION UNDER 35 U.S.C. 371</b>   |  | <b>ATTORNEY'S DOCKET NUMBER</b><br><b>53989/DBP/S632</b>                    |
|   |  | <b>U.S. APPLICATION NO. (If known, see 37 CFR 1.5)</b><br><b>10/516,877</b> |
| INTERNATIONAL APPLICATION NO.<br>PCT/AU03/00408   | INTERNATIONAL FILING DATE<br>04 April 2003 | PRIORITY DATE CLAIMED<br>03 June 2002                                       |
| <b>TITLE OF INVENTION</b><br><b>WDM MODULE</b>  |  |   |
| APPLICANT(S) FOR DO/EO/US OWENS, Mark J.; SEILER, Chia; BROWN, Brian Robert;<br>BONWICK, Mark Henry; SCOTT, Quentin; GOH, Robert; HALGREN, Ross; and LAUDER, Richard  |  |   |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:   |  |   |
| <ol style="list-style-type: none"> <li>1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a submission under 35 U.S.C. 371.</li> <li>2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a submission under 35 U.S.C. 371.</li> <li>3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.</li> <li>4. <input type="checkbox"/> The US has been elected (Article 31).</li> <li>5. <input type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> has been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).</li> </ol> </li> <li>6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> is attached hereto.</li> <li>b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).</li> </ol> </li> <li>7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))             <ol style="list-style-type: none"> <li>a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).</li> <li>b. <input type="checkbox"/> have been communicated by the International Bureau.</li> <li>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.</li> <li>d. <input type="checkbox"/> have not been made and will not be made.</li> </ol> </li> <li>8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).</li> <li>9. <input type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).</li> <li>10. <input type="checkbox"/> An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).</li> </ol> |  |   |
| Items 11 to 20 below concern document(s) or information included:   |  |   |
| <ol style="list-style-type: none"> <li>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98. <b>Express No. EV 326708996 US</b></li> <li>12. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.</li> <li>13. <input type="checkbox"/> A preliminary amendment.</li> <li>14. <input type="checkbox"/> An Application Data Sheet under 37 CFR 1.76.</li> <li>15. <input type="checkbox"/> A substitute specification.</li> <li>16. <input type="checkbox"/> A power of attorney and/or change of address letter.</li> <li>17. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821- 1.825.</li> <li>18. <input type="checkbox"/> A second copy of the published International Application under 35 U.S.C. 154(d)(4).</li> <li>19. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).</li> <li>20. <input checked="" type="checkbox"/> Other items or information: <b>PTO Form SB/08A/B w/7 pages of references</b></li> </ol>   |  |   |

This collection of information is required by 37 CFR 1.414 and 1.491-1.492. The information is required to obtain or retain a benefit by the public, which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 15 minutes to complete, including gathering information, preparing, and submitting the completed form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop PCT, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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|  |              |   |         |   |              |
|--|--------------|---|---------|---|--------------|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5)<br><b>10/516,877</b>   |              | INTERNATIONAL APPLICATION NO.<br><b>PCT/AU03/00408</b>                        |         | ATTORNEY'S DOCKET NUMBER<br><b>53989/DBP/S632</b> |              |
| The following fees have been submitted   |              |   |         | CALCULATIONS                                      | PTO USE ONLY |
| 21. <input type="checkbox"/> Basic national fee.....   |              |   |         | \$ 0  |              |
| 22. <input type="checkbox"/> Examination fee<br>If International preliminary examination report prepared by USPTO and all claims satisfy provisions of PCT Article 33(1)-(4)..... \$100<br>All other situations..... \$200   |              |   |         | \$ 0  |              |
| 23. <input type="checkbox"/> Search fee<br>Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority..... \$100<br>International Search Report prepared and provided to the Office..... \$400<br>All other situations..... \$500   |              |   |         | \$ 0  |              |
| <b>TOTAL OF 21, 22 and 23 =</b>  |              |   |         | \$ 0  |              |
| <input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing or computer program listing filed in an electronic medium).<br>The fee is \$250 for each additional 50 sheets of paper or fraction thereof.  |              |   |         |   |              |
| Total Sheets   | Extra Sheets | Number of each additional 50 or fraction thereof (round up to a whole number) | RATE    |   |              |
| - 100 =  | /50 =        |   | x \$250 | \$ 0  |              |
| Surcharge of \$130.00 for furnishing the oath or declaration later than 30 months from the earliest claimed priority date (37 CFR 1.492(h)).   |              |   |         | \$ 0  |              |
| CLAIMS   | NUMBER FILED | NUMBER EXTRA  | RATE    | \$  |              |
| Total claims   | - 20 =       |   | x \$ 50 | \$ 0  |              |
| Independent claims   | - 3 =        |   | x \$200 | \$ 0  |              |
| MULTIPLE DEPENDENT CLAIM(S) (if applicable)  |              |   |         | +   |              |
|  |              |   |         | \$ 360  |              |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |              |   |         | \$ 0  |              |
| <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. Fees above are reduced by ½.   |              |   |         |   |              |
|  |              |   |         | <b>SUBTOTAL =</b>                                 | \$ 0         |
| Processing fee of \$130.00 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 CFR 1.492(i)).  |              |   |         |   | \$           |
|  |              |   |         | <b>TOTAL NATIONAL FEE =</b>                       | \$ 0         |
| Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property   |              |   |         |   | \$           |
|  |              |   |         | <b>TOTAL FEES ENCLOSED =</b>                      | \$ 0         |
|  |              |   |         | Amount to be refunded:                            | \$           |
|  |              |   |         | Amount to be charged:                             | \$           |
| <p>a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.</p> <p>b. <input type="checkbox"/> Please charge my Deposit Account No. _____ in the amount of \$ _____ to cover the above fees.<br/>A duplicate copy of this sheet is enclosed.</p> <p>c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. <u>031728</u>. A duplicate copy of this sheet is enclosed.</p> <p>d. <input type="checkbox"/> Fees are to be charged to a credit card. WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.</p> |              |   |         |   |              |
| NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the International Application to pending status.   |              |   |         |   |              |
| SEND ALL CORRESPONDENCE TO: Customer No. 23363   |              |   |         |   |              |
| D. Bruce Prout   |              |   |         |   |              |
| Christie, Parker & Hale, LLP   |              |   |         |   |              |
| Post Office Box 7068   |              |   |         |   |              |
| Pasadena, CA 91109-7068  |              |   |         |   |              |
| <br>SIGNATURE<br><u>D. Bruce Prout</u><br>NAME<br><u>D. Bruce Prout</u><br>REGISTRATION NUMBER<br><u>20,958</u>  |              |   |         |   |              |

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U.S. PATENT AND TRADEMARK OFFICE  
PATENT #2.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

EXPRESS MAIL NO. EV 326708996 US

Applicant : Mark J. Owens, et al. Confirmation No. 8985  
Application No. : 10/516,877  
Filed : December 3, 2004  
Title : WDM MODULE

Grp./Div. : 2661  
Examiner : To be determined  
Docket No. : 53989/DBP/S632

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
37 CFR § 1.97(b)

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Post Office Box 7068  
Pasadena, CA 91109-7068  
March 30, 2005

Commissioner:

In compliance with the duty of disclosure under 37 CFR §§ 1.56, 1.97 and 1.98, and in accordance with the provisions in the Manual of Patent Examining Procedure §§ 609 and 707.05(b), enclosed is FORM PTO/SB/08A/B listing the references that are known to applicant. Copies of each of the Foreign Patent Documents and Other Documents are enclosed. This filing is timely because it is made during one of the periods described in 37 CFR § 1.97(b).

It is respectfully requested that the listed references be considered in the examination of this application and identified on the list of references cited on the patent issuing for this application. Applicant also requests that an initialed copy of FORM PTO/SB/08A/B be entered in the application file and returned to applicant with the next communication from the Office in accordance with MPEP § 609.

Respectfully submitted,  
CHRISTIE, PARKER & HALE, LLP

By D. Bruce Prout  
D. Bruce Prout  
Reg. No. 20,958  
626/795-9900

DBP/dg  
Enclosures: PTO/SB/08A/B, w/references  
DLG PAS615343.1-\*03/30/05 2:22 PM

FORM PTO/SB/08A/B (10-01)  
Substitute for PTO-1449A/B

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

|                        |                       |
|------------------------|-----------------------|
| Attorney Docket Number | 53989/DBP/S632        |
| Application Number     | 10/516,877            |
| Filing Date            | December 3, 2004      |
| Applicant(s)           | Mark J. Owens, et al. |
| Group Art Unit         | 2661                  |
| Examiner Name          | To be determined      |

**U.S. PATENT DOCUMENTS**

| EXAMINER INITIALS | CITE NO. <sup>1</sup> | DOCUMENT NUMBER<br>Number - Kind Code <sup>2</sup> (If Known) | PUBLICATION DATE<br>MM-DD-YYYY | NAME OF PATENTEE     |
|-------------------|-----------------------|---|--------------------------------|----------------------|
|                   |                       | 2001/0015839 A1   | 08-23-2001                     | Koh et al            |
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|                   |                       | 5,390,164   | 02-14-1995                     | Kremer               |

| EXAMINER SIGNATURE | DATE CONSIDERED |
|--------------------|-----------------|
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>See Kinds Codes of USPTO Patent Documents at [www.pto.gov](http://www.pto.gov) or MPEP 901.4. <sup>3</sup>Enter Office that issued the document, by the two-letter code (WIPO standard ST.3). <sup>4</sup>For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup>Applicant is to place a check mark here if English Language Translation is attached.

FORM PTO/SB/08A/B (10-01)  
Substitute for PTO-1449A/B

**INFORMATION DISCLOSURE  
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(use as many sheets as necessary)

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| Application Number     | 10/516,877            |
| Filing Date            | December 3, 2004      |
| Applicant(s)           | Mark J. Owens, et al. |
| Group Art Unit         | 2661                  |
| Examiner Name          | To be determined      |

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|                   |                       | 5,394,389   | 02-28-1995                     | Kremer             |
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| EXAMINER SIGNATURE | DATE CONSIDERED |
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|                    |                 |

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| Applicant(s)           | Mark J. Owens, et al. |
| Group Art Unit         | 2661                  |
| Examiner Name          | To be determined      |

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|-------------------|-----------------------|---|--------------------------------|--------------------|
|                   |                       | 5,978,114   | 11-02-1999                     | Clark et al.       |
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| Applicant(s)           | Mark J. Owens, et al. |
| Group Art Unit         | 2661                  |
| Examiner Name          | To be determined      |

**U.S. PATENT DOCUMENTS**

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|-------------------|-----------------------|---|--------------------------------|---------------------|
|                   |                       | 6,327,062 B1  | 12-04-2001                     | King et al.         |
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| Attorney Docket Number | 53989/DBP/S632        |
| Application Number     | 10/516,877            |
| Filing Date            | December 3, 2004      |
| Applicant(s)           | Mark J. Owens, et al. |
| Group Art Unit         | 2661                  |
| Examiner Name          | To be determined      |

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